



U.S. Department of Justice

Strategic Leadership Succession Plan

Prepared by:

**JUSTICE MANAGEMENT DIVISION
OFFICE OF PERSONNEL STAFF
LEARNING AND WORKFORCE DEVELOPMENT**

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Executive Summary

This document serves as the U.S. Department of Justice (DOJ) Strategic Leadership Succession Management Plan (Succession Plan) and is intended to meet the requirements of the President's Management Agenda and the Office of Personnel Management's "Proud to Be" initiatives. The purpose of this Plan is to provide a clear overview of the planning and activities underway in DOJ to ensure that excellent leadership is in place to successfully accomplish the DOJ mission. The DOJ view of strategic leadership succession planning is that it is a key part of the broader efforts of strategic workforce planning and strategic human capital management.

The Plan outlines the strategic alignment of succession management investments in DOJ leaders with the strategic goals and mission of the Department. The plan provides a "line of sight" from the DOJ mission through the DOJ Strategic Plan, the DOJ Human Capital Strategic Plan and into the implementation of leadership succession initiatives. The plan also provides a business case for strategic leadership succession management that affirms the DOJ commitment to closing leadership competency gaps to improve organizational performance.

The Succession Plan describes the leadership pipeline at DOJ, providing analyses of projected losses, through retirement and separation, of a large number of leaders over the next five years. Our analyses show that approximately 14% of DOJ's leaders and potential leaders GS-13 through executive level (ES) and equivalents—such as Senior Attorneys (Administratively Determined level 29+) are currently eligible to retire in 2008. However, within that group, 38% of the ES level will be eligible to retire in 2008. The overall number will increase to 18% by 2009 and by 36% by 2013 while the number of ES level leaders eligible to retire goes to 44% in 2009 and 68% in 2013. Indeed, when the losses and likely replacement promotions based on historical rates within DOJ are considered, the Department will need to prepare between 3,000 and 4,000 leaders per year for new positions. The projected losses of leaders are particularly serious in the law enforcement and correctional occupations.

The Plan also addresses the "Readiness Gap" between the leadership requirements over the next five years and the leaders--and their current competencies—available to fill the requirements. Based on the DOJ pilot test of the Federal Competency Assessment Tool for Managers (FCAT-M), the largest competency readiness gaps on which DOJ should focus leadership development are Conflict Management, Financial Management, and Political Savvy.

The heart of the Succession Plan is the initiatives and actions DOJ has created to meet the challenges of the readiness gap. The Plan describes DOJ-wide initiatives in areas of retention, recruitment, competency assessment, and leadership development. Initiatives such as the expansion of the FCAT-M for assessing leadership competencies and leadership development initiatives such as SES Candidate Development, Leadership Excellence and Achievement Program (LEAP), and executive coaching are outlined. Implementation of the Learning Management System (LMS) is discussed in terms of planning and tracking leadership

development and associated costs for evaluating effectiveness. Innovative Component programs that might be expanded throughout the Department as “beat practices” or “lessons learned” to support succession management are also described.

The Plan summarizes the implementation of programs to support succession management, and where there are plans to expand the programs, lays out implementation plans. DOJ has formed three councils to oversee strategic human capital management in DOJ: the Human Capital Council (HCC), the Workforce Planning Council (WPC) and the Leadership and Development Council (LDC). These bodies will continue to share lessons learned and plan for DOJ-wide programs. The Plan also presents the communication plan for disseminating the Succession Plan throughout DOJ, to the leaders, potential leaders, the affected organizations and the workforce.

Finally, the Plan explains how the initiatives and programs will be evaluated for effectiveness. This includes the evaluation of how well DOJ meets its targets for numbers of leaders, the competencies possessed by those leaders, the effect on the Department in terms of cost and performance, and compliance with Federal laws, rules, regulation, and guidelines. The evaluation includes an annual formal review—both quantitative and qualitative-- of the plan and the succession management results. The HCC, WPC, and LDC will continue to develop metrics, and as the plan matures, add measures to better evaluate the outcomes. The Succession Plan and the evaluation results will be shared throughout the Department annually.

U.S. Department of Justice (DOJ) Strategic Leadership Succession Plan

This document provides the U.S. Department of Justice (DOJ) Strategic Leadership Succession Plan. The structure and content of this plan follows the guidelines suggested by the Office of Personnel Management (OPM) for a Strategic Leadership Succession Plan. It contains five sections.

- ▶ **Section 1:** Addresses strategic alignment between the strategic leadership succession plan and the Department's overall mission.
- ▶ **Section 2:** Illustrates the current DOJ leadership and the existing pipeline that provides leaders.
- ▶ **Section 3:** Provides the heart of the plan; the succession management initiatives and actions that are planned for meeting critical leadership requirements.
- ▶ **Section 4:** Depicts the implementation of those initiatives and actions.
- ▶ **Section 5:** Describes how the planned initiatives and actions will be evaluated against their goals, as well as the organization's goals.

Section 1: Strategic Alignment

Purpose of the DOJ Strategic Leadership Succession Plan

The purpose of the DOJ Strategic Leadership Succession Plan is to provide a clear overview of the planning and activities underway in the DOJ to ensure that excellent leadership is in place to successfully accomplish the DOJ mission. This plan is intended to be comprehensive in the sense of looking across the entire DOJ for strategic leadership challenges and programs. It does not, however, describe every action and program currently underway within the DOJ related to strategic leadership and succession planning. It attempts to identify critical issues, initiatives to resolve those issues, and innovative programs that have potential for spreading throughout the Department to improve the overall leadership performance.

The DOJ view of strategic leadership succession planning is that it is a key part of the broader efforts of strategic workforce planning and strategic human capital management. Leaders are one mission critical occupation in the organization; albeit one of the most critical because they steer the direction of the organization and must ensure that all of the other critical elements for organizational success (human and otherwise) are present, properly aligned and working efficiently. Indeed, one of the paradoxes of strategic leadership planning is to ensure that the leaders understand their own essential role in strategic human capital management. The leaders of the organization, even more than the human resources (HR) professionals who support them, must strategically manage the workforce they lead so that the organization's mission can be accomplished.

The DOJ Mission and Goals

The U.S. Department of Justice is a large, complex, and multifaceted organization comprised of many unique and specialized Components. Our mission is:

“...to enforce the law and defend the interests of the United States according to federal leadership in preventing and controlling crime; to seek just punishment for those guilty of unlawful behavior; and to ensure fair and impartial administration of justice for all Americans.”

To perform this broad and important mission the Department is structured in 40 separate offices, bureaus, and Components with more than 106,000 diverse employees working in every state and many in foreign countries. The 2007-2012 DOJ Strategic Plan presents three strategic goals for the next five years. These are:

1. Prevent Terrorism and Promote the Nation’s Security;
2. Prevent Crime, Enforce Federal Laws, and Represent the Rights and Interests of the American People; and
3. Ensure the Fair and Efficient Administration of Justice

The Department has developed 19 specific objectives to support these goals with detailed outcome measures for each objective. The Strategic Plan describes four themes that underpin the goals and objectives that are particularly relevant to how the Department leverages its human capital to accomplish its mission and meets its goals. These are:

- ▶ Partnership;
- ▶ Leadership;
- ▶ Preparedness; and
- ▶ Integrity.

The DOJ mission, goals and objectives flow into and are core to the various planning documents and initiatives as represented in the diagram below.



The DOJ Human Capital Strategic Plan

The DOJ Human Capital Strategic Plan is completely focused on providing the human capital for the Department to meet its mission. This focus provides the strategic alignment for the DOJ HR community to identify needs, develop programs and improve processes to grow a workforce that can achieve the goals and meet the current and future challenges of the DOJ mission. The human capital strategic goals are:

- ▶ Engage DOJ leadership at all levels as a strategic partner to champion and enhance human capital program in support of the DOJ mission.
- ▶ Promote a professional, highly competent, and diverse workforce that achieves agency goals and meets current and future organizational needs.
- ▶ Effectively use available flexibilities and tools, develop innovative programs, and proactively seek additional authorities to improve performance and provide outstanding customer service.

- ▶ Leverage existing technology and pursue new technology throughout the Department to develop, implement, and manage human capital strategies and services in partnership with DOJ's offices of the CIO and CFO, and other Departmental entities.
- ▶ Systematically plan, measure, evaluate and improve human capital programs to achieve organizational results, legal and regulatory compliance, and taxpayer value.

DOJ Strategic Leadership Succession Plan Goals

The primary goal addressed by this plan is to improve the capability throughout the DOJ to prepare and support excellent leaders who embody the qualities needed to meet the challenges of the future. The plan speaks to the broad DOJ leadership challenges and concentrates on cross-Component efforts regarding succession planning. At the same time the plan identifies particular significant leadership issues and initiatives within DOJ Components and highlights innovative programs for more general application. More specific goals are for each Component to:

- ▶ Plan for leadership succession,
- ▶ Create pools of talented leader prospects,
- ▶ Select and promote good leaders and those with leadership potential,
- ▶ Assess leadership competencies,
- ▶ Develop leaders, and
- ▶ Continuously improve the leadership succession process

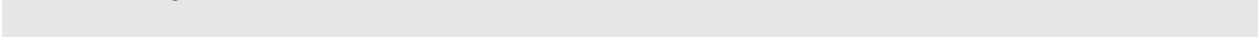
Business Case for Strategic Leadership Succession Planning

The business case for strategic leadership succession planning is clear, if not always well understood or the costs known by the organization. Excellent leadership is essential for organizations to meet their mission and perform effectively. Good leaders establish the vision and set the priorities for the organization. They define the goals and objectives and should identify the measures that clearly mark success or failure in organizational outcomes. They should motivate their workforce and enable the successful accomplishment of objectives through the provision of resources matched to the objectives. They monitor performance and hold individuals and organizations accountable for their level of achievement. Leaders must understand the relationships between their people—with their capabilities and limitations—the resources available, the difficulty of the tasks, and the context in which they are working—including political realities—to constantly readjust objectives and priorities. This level of leadership performance requires purposeful development of the necessary competencies and experience.

DOJ, like any organization, will only be successful in meeting its mission if its leadership is able to meet these challenges. Leaders are constantly flowing out of organizations; retiring or moving on to other endeavors. This report projects that a large number will be leaving DOJ over the next five years, taking the knowledge and expertise they have developed with them. The extent to which DOJ can retain or transfer the knowledge they have acquired to new leaders, represents a savings of human capital assets. To the degree that DOJ has programs to identify and select qualified leaders and to provide developmental activity and experiences, it can ensure that it is preparing and replacing these assets, and investing in the future success of the organization.

Generally a business case attempts to attach costs and return on investment (ROI) to the decision to invest in an action. This plan does not provide quantitative estimates of ROI on developing competent leaders to meet the DOJ mission. It does, however, affirm DOJ's

commitment to excellence in leadership; continually developing leaders as they flow through the organization, analyzing leadership requirements along with anticipating leadership deficits, and creating leadership succession plans and programs to ensure that the stream of competent leaders continues within DOJ. DOJ believes that closing leadership competency gaps will reduce costs and result in better, more efficient, organizational performance. DOJ is committed to investing in developing leaders, as demonstrated by its initiatives and programs described in this document. DOJ is committed to tracking the costs of these programs, evaluating their effectiveness, revising or replacing them for continuous improvement, and measuring their impact on organizational outcomes.



Section 2: Current DOJ Leaders and the Leadership Pipeline

Describing the Pipeline

The DOJ is a large and complex organization and its leadership profile is similarly large and complex. While the majority of DOJ Components are headquartered in the Washington, DC metropolitan area, there are many thousands of employees and leaders spread out across the United States. The organizational Components range in size from Office of the Pardon Attorney with 13 employees to the Bureau of Prisons with over 35,000 employees. The leadership of these DOJ Components is as diverse and distributed as the organizations themselves, with some offices having a single executive and others with hundreds of executives and thousands of personnel with specialized expertise at senior pay levels.

Several of the larger organizations—FBI, ATF, DEA, and USMS—are comprised of investigators and law enforcement personnel while the litigating divisions—Antitrust, Civil, Civil Rights, Criminal, Environmental and Natural Resources, and Tax—are heavily staffed with attorneys (as are the US Attorneys Offices¹). In addition, many Components play primarily program and policy roles with a mix of program managers, analysts, attorneys, social scientists and public policy experts. All Components are served by administrative and support personnel with specializations in budget, human resources, acquisition, finance, and information technology. In most cases the most senior leadership of these Components are political appointees, but the next tier of senior leaders are usually developed within the organizations. In fact, the principal pipeline for filling executive level jobs in DOJ is from the ranks of their organization. Therefore, most individuals in leadership positions have proven their technical and professional capabilities within the organization and move into their leadership role with a good understanding of what their organization does and how it has done it in the past. The largest part of the candidate pool for leadership positions in most DOJ Components are the individuals in the organization at the next level down. Increasing the quality and diversity at entry and lower levels in the organization helps to enable a more diverse pool for selecting leaders.

As in most organizations, defining who is a leader in DOJ is not a straight-forward task. Clearly those individuals in positions that are designated as supervisory or managerial, who have employees that they direct and supervise, are in leadership roles. Many other senior level personnel play key staff and policy making roles, where they lead teams or manage programs, where they must exhibit leader behaviors, and depend on leadership competencies to accomplish their jobs.

Table 1 presents the overall numbers of DOJ personnel in the GS-13 through Executive (ES) levels¹ and Senior Attorneys (Administrative Determined level 29 and above—labeled AD) at the end of FY 2007. These individuals can be viewed as potential leaders. The table also shows the number of individuals in grades GS13—ES and AD who are designated as supervisors or managers; those who are currently in roles where they are directly responsible for supervising, directing, motivating, and evaluating DOJ employees. As can be seen, this represents 32% of all personnel in these grade levels.

¹ For this report, GS-13 includes pay plans AD 21 & 24, GS-14 includes pay plans AD 25 & 26, GS-15 includes pay plans AD-27 & 28. ES includes SES, Executive Pay Levels, Senior Level Positions, and Immigration Judges. Administratively Determined pay levels 29 and higher are labeled AD

Table 1: Number of Leaders in DOJ

Grade	Potential Leaders	Average Age	Supervisor/ Manager		Female		Minority		Employees with Disabilities	
			#	%	#	%	#	%	#	%
13	19,510	43.9	2,913	15%	5,809	30%	4,484	23%	385	2%
14	8,091	45.7	5,481	68%	2,512	31%	1,919	24%	232	3%
15	5,530	47.0	2,534	46%	1,971	36%	1,015	18%	142	3%
ES	967	51.9	716	74%	239	25%	183	19%	23	2%
AD	4,106	48.7	772	19%	1,406	34%	671	16%	55	1%
Total	38,204	45.4	12,416	32%	11,937	31%	8,272	22%	837	2%

Of course there are individuals in other grades and levels who act as leaders; including many administrative roles and several wage grade supervisory positions. The groups shown in Table 1 however, represent the primary internal pipeline for senior management and the executive levels in the Components, which is the principal interest of this plan. The participation rates of females and minorities in the DOJ's pipeline for senior managers and executives at the aggregate level are lower than the overall DOJ female and minority participation rates which are respectively 39% and 31%. For employees with disabilities, there is a 1% point difference in the participation rates, with the overall aggregate rate being higher.

The number of senior leaders in many Components is very small and the sources for senior leaders vary greatly; therefore we have concentrated our pipeline analysis on the 16 largest Components and Litigating Divisions where a true pipeline exists. This represents 77% of all individuals in Grades 13—ES and AD across DOJ. The percentage of individuals in those 16 Components in each grade level GS-13-ES and AD that will become retirement eligible in each of the next five years is presented in Figure 1.

As can be seen in Figure 1, the percentages of those who are eligible to retire increase from a low of 11% for AD and 38% for ES in 2008 to highs of 29% for AD and 68% for ES by 2013. However when we examine retirement eligibility in 2013 for each of the 16 Components—shown in Figure 2—we see that several Components (USMS, ATF, and DEA) are projected to experience more than 84% retirement eligibility at the ES level by 2013 and the Bureau of Prisons will experience 96% retirement eligibility for the ES level. The US Attorneys Offices', which has a large number of Senior Attorneys in the AD category, will have only 29% retirement eligibility in this group by 2013.

For many of the DOJ Components, the retirement forecast is a serious concern. The issue is particularly serious in the law enforcement and correctional Components. The high percentage of potential retirements in the other leadership grades makes succession planning very important, and will force DOJ Components to ensure that their entry-level positions from which the higher grades are promoted are full and ready to feed the leadership demand.

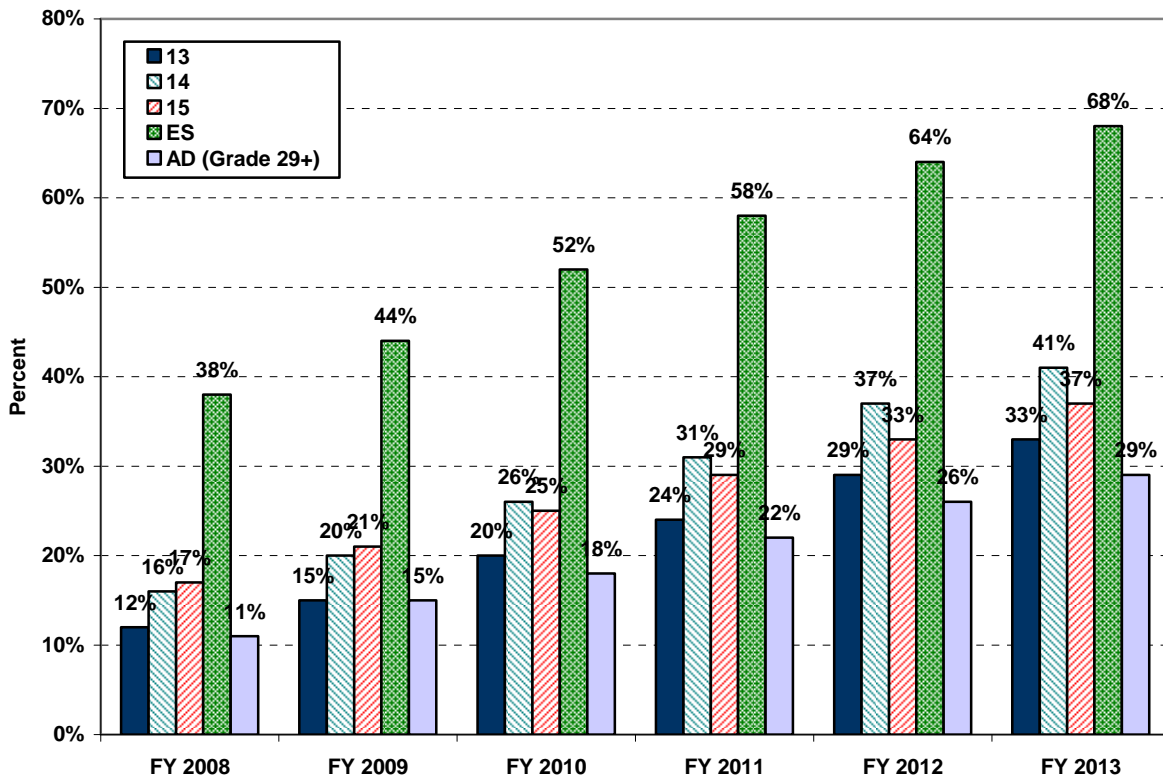


Figure 1: Percentage of Employees in Selected Components that Will be Eligible for Voluntary Retirement by Fiscal Year for Grades 13 - ES and AD

Applying historical averages for retirement and other separations indicates that the number of potential DOJ leaders projected to leave the organization each year over the next six years is relatively constant and similar to historical losses (see Appendix B). If one assumes that individuals who leave are replaced by an individual from the next lowest grade level (which is what typically happens) a large number of promotions are necessary to fill the vacancies. Taken together, the losses of leaders and the promotion of potential leaders results in a very large number of individuals in grades 13--ES being placed in new positions (at new levels) each year. The situation for ADs is slightly different because a greater number of ADs are replaced with hires from outside the US Attorneys Offices'. Table 2 shows the projected number of individuals at each level who would be at a new level each year from 2008 through 2013. This represents DOJ leadership succession targets. One can see that the number of new leaders at each level will be quite large, ranging from 5% to 7% for the ADs, from 6% to 11% for the ES level and as high as 13% of the population at the GS-14 level. Considering that most leaders are promoted from within, the challenge facing DOJ Components to prepare, select, and develop leaders is tremendous. Additionally, DOJ must continue to recruit at entry levels and maintain adequate numbers at journey levels to keep this pipeline full.

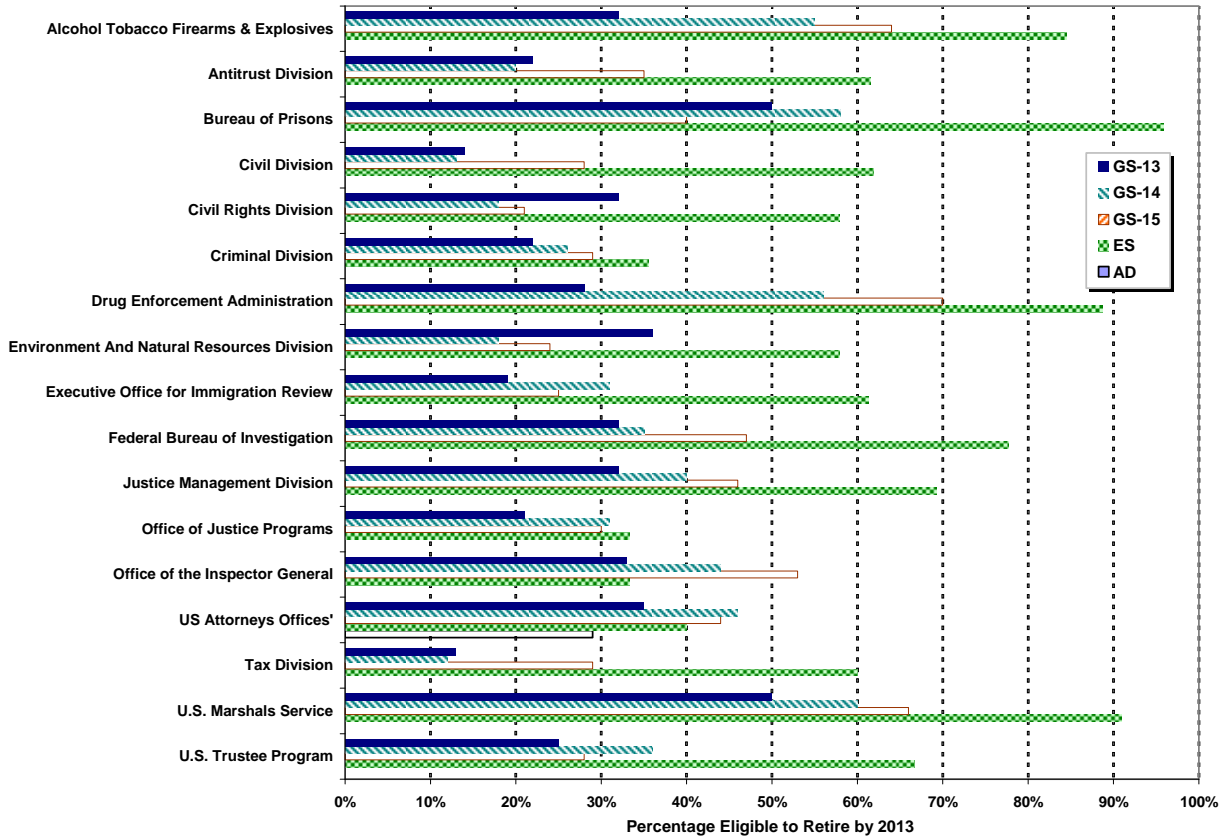


Figure 2: Percentage of Component Employees that Will be Eligible for Voluntary Retirement as of the End of FY2013 for Grades 13 – ES and AD

Table 2: Projected Number of Individuals in New Positions by Grade and Year Based on Projected Losses and Promotions										
	Grade									
	13		14		15		ES		AD	
Population	19,510		8,091		5,530		967		4,106	
Year	#	%	#	%	#	%	#	%		
FY08	1,858	10%	1,031	13%	576	10%	109	11%	304	7%
FY09	1,735	9%	943	12%	523	9%	96	10%	290	7%
FY10	1,738	9%	901	11%	479	9%	88	9%	269	7%
FY11	1,677	9%	841	10%	436	8%	77	8%	255	6%
FY12	1,662	9%	796	10%	395	7%	67	7%	241	6%
FY13	1,581	8%	727	9%	357	6%	57	6%	222	5%

An additional factor in considering the DOJ leadership pipeline is the nature of the occupations that feed the leadership positions and their effect on the pipeline. While one of the largest occupations in DOJ is Correctional Officers, few individuals in this job series move into leadership within the same job series. Those Correctional Officers who aspire to senior leadership move into Correctional Institution Administration job series. There are several

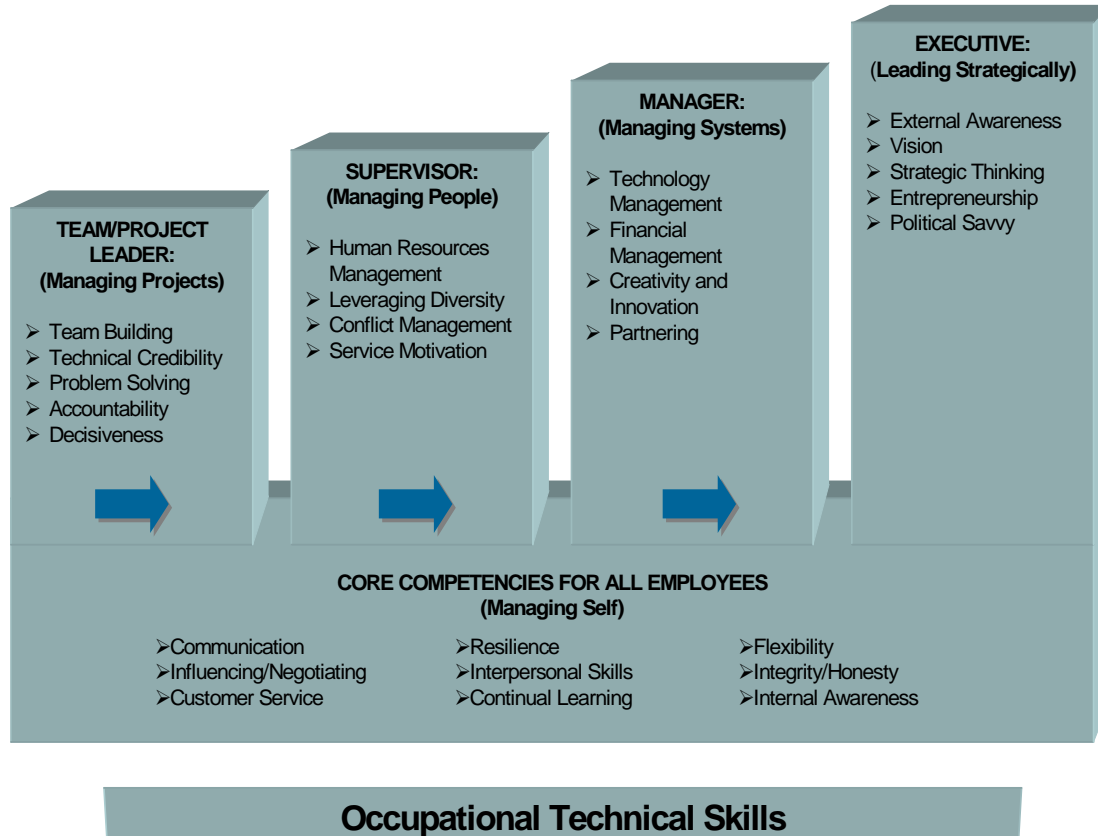
Components with large contingents of Law Enforcement Officers. Law Enforcement positions have a different retirement system, one aspect of which is that they can retire after 20 years of service. A large proportion of the Law Enforcement leadership come from the ranks of Law Enforcement Officers and nearly all of these leaders have been in their Component for their entire career. Attorneys are another large occupational group within DOJ. Many Attorneys do not spend their entire careers at DOJ, and it is not unusual for Attorneys to leave and come back to DOJ. Many of the other occupations that feed leadership positions at DOJ, in fields such as HR, IT, Finance, and Program Management, may have experience in other Federal agencies prior to coming to DOJ.

DOJ anticipates that the occupation of Intelligence (job series 0132) will increase in several Components and that new organizational units within Components will be formed. It is likely that in the future a larger number of leaders will come from the ranks of the Intelligence occupation.

Readiness Gap

As can be seen from the data in Table 2, the number of new leaders at each level in DOJ over the next five years will be quite large, ranging from 5% to 13% of the total number of leaders at a given level in some years. The readiness gap—the difference between the number of leaders required who possess the necessary competencies at the level of expertise required to perform their job and the leaders in place who actually possess those necessary competencies—includes the approximately 3,000 to 4,000 individuals that are projected to assume new positions each year. In addition, there are certainly many current DOJ leaders who do not possess all of the necessary leadership competencies—at the level required—to perform well in their jobs. To develop the capability to measure leadership competencies and the leadership readiness gap, DOJ has adopted a comprehensive leadership competency framework, based on the Executive Core Qualifications and Competencies developed by OPM. This model, presented in Figure 3, targets specific competencies for each phase in the leadership pipeline. DOJ and its Components have more than one methodology for assessing leadership competencies. Over a number of years, some Components have developed leadership competency models and their own approaches to assessing competencies and identifying competency gaps. Several of the larger Components have also created their own leader development programs and have chosen a variety of courses, method, activities and developmental opportunities for enhancing leadership in their organizations. The most established program is executed by the FBI. This program was developed over a number of years and has resulted in many specialized leadership courses and programs being implemented in this organization.

Figure 3: Leadership Competency Framework



Recently, four Components (Justice Management Division, USMS, ATF, and BOP) used OPM’s Federal Competency Assessment Tool for Managers (FCAT-M) to assess the current and desired competency proficiency levels for DOJ’s supervisors/managers and executives against OPM’s Executive Core Qualifications and 27 subordinate leadership competencies (See Appendix C). The FCAT-M proficiency levels are:

- ▶ Awareness
- ▶ Basic
- ▶ Intermediate
- ▶ Advanced
- ▶ Expert

The current proficiency levels for an individual were the averages of the self-reported competency levels and their respective supervisors’ assessments of the individual. The desired competency proficiency levels were provided by the respondents’ supervisors. The difference between the desired competency proficiency levels and the currently possessed competency levels revealed a competency gap for each competency. These gaps were sorted in order of gap size. The three leadership competencies that showed the largest gaps were:

- ▶ Conflict Management
- ▶ Financial Management
- ▶ Political Savvy

As indicated in Figure 3, the executives should be proficient with respect to the Political Savvy competency, supervisors should be proficient in Conflict Management and managers should be proficient in Financial Management. Using the framework as a guide, closing the Political Savvy competency gap was identified for executives. Closing the Conflict Management and the Financial Management competency gaps were identified for supervisors/managers. The FCAT-M results indicated that the desired proficiency levels for Conflict Management and Financial Management were to be at the intermediate or above levels. The desired level for Political Savvy was the advanced or above proficiency levels. This information was used to estimate the number of supervisors/managers and executives currently onboard at or above the desired proficiency levels. Approximately 30% of the executives were below the desired proficiency level; whereas, 10% of the managers were below the desired proficiency level and only 4% of the supervisors were below the proficiency level for their respective competencies.

While the results of this pilot assessment may not be entirely representative of all leadership in DOJ, the findings may shed some light on the readiness gap and general areas on which leadership development efforts might focus. DOJ regards this effort as potential for establishing a default set of leadership competencies, a standard tool for assessing competency levels, and a basis for selecting and applying leadership development opportunities that will address these competency readiness gaps in FY 2008.

The Justice Management Division (JMD), as the lead for strategic human capital management in DOJ, has recommended that Components not already using a competency model or committed to an assessment methodology begin using the FCAT-M to assess leadership competencies. At the time of this report, several other Components are considering pilot testing the FCAT-M in their organizations.

Section 3: Succession Management Initiatives and Actions for Meeting DOJ Leadership Requirements

The DOJ Succession Plan is comprised of many initiatives that, taken together, move the Department toward a more rational and intentional approach to meeting leadership requirements while maintaining compliance with Federal laws, rules, regulations, and guidelines. The Succession Plan is part of the larger strategic human capital management approach that views the people in an organization as an important asset to be invested in and valued. This approach assumes that employees make choices about careers, work habits, and employers based on their job satisfaction, compensation, and potential for advancement. Therefore, if DOJ wants to be an employer of choice, it should structure its policies and programs to create an attractive work environment. A part of this Succession Plan is to make the current DOJ leadership aware of workforce and succession planning issues so that they support the necessary investments in the workforce and leadership and so that they monitor workforce and succession planning programs and goals.

The initiatives described below have been developed to make DOJ a more appealing place to work and to give current employees a reason to stay and want to advance their careers and to proactively meet the serious challenge of replacing and preparing leaders over the next five years. The initiatives have been divided into the following four types of actions described below:

- ▶ Retention Initiatives,
- ▶ Recruiting Initiatives,
- ▶ Assessing Leadership Competency Gaps, and
- ▶ Leadership Development

Retention Initiatives

Based on current attrition and retirement rates, large numbers of leaders are projected to leave DOJ over the next five years. One method for reducing the number of new leaders required is to reduce the number of leaders leaving their organization. There are several broad initiatives underway to make the DOJ workplace a more appealing environment including a greater focus on work-life balance, flexible hours and telework. In addition, there is greater emphasis on leaders providing more information, sooner, to employees so that they feel that they know what is happening in the organization. Similarly, there is a focus on providing better performance management, including: setting goals and priorities, providing more thorough feedback, and addressing training and individual development.

There are two more specific elements to retaining leaders. First, encouraging leaders who are eligible to retire to stay longer through incentives. Incentives can be financial and can also include greater flexibility in work schedules and job responsibilities. Second, is to make promotion opportunities available and known before the individual makes the decision to leave. This latter element is especially useful for encouraging individuals who might leave Federal service for what they perceive as greener pastures (more chance of advancement and more pay) prior to retirement. Ensuring that they see the large number of promotion opportunities realistically is critical to retaining good personnel. Several examples of retention programs being implemented in DOJ are provided below.

- ▶ Special incentives are offered to retain individuals in the Office of the Inspector General who possess specialized knowledge and expertise that is particularly valuable in the private sector. Similarly, the Bureau of Prisons uses retention bonuses to keep valuable employees in “hard to fill” positions and in “hard to fill” locations.
- ▶ Special assignments of extremely complex and interesting litigation have been used to retain Senior Level Attorneys in the Tax Division. A cadre of highly talented attorneys have been recruited and retained by assigning them extremely complex cases that are intrinsically motivating to these attorneys. These individuals are highly sought in the private sector and retaining them is important to the government to ensure the best quality legal capabilities are representing the United States Government.
- ▶ Work-Life Balance is being addressed in the Criminal Division as an element (with others such as leadership development and mentoring) to assist in retaining valuable employees. The Division established a Management Advisory Council that has created work groups to study this issue and make recommendations to the Assistant Attorney General for implementation of work-life balance initiatives.
- ▶ Office of Preference Program (OPREF), developed by the USMS, allows law enforcement employees to submit their names for consideration for lateral movement into positions in a different geographical area. When vacancies occur in an office, the manager can select from the OPREF list rather than initiate a recruit action. It gives employees the opportunity to move to desirable locations. The USMS is also in the process of expanding the OPREF program to other occupational series.

Recruiting Initiatives

The vast majority of leaders and executives in DOJ are selected and promoted from the ranks of DOJ employees in the same organization. Supervisors are selected from the pool of qualified employees, managers from qualified supervisors and executives from qualified managers. The most essential action to ensure that the DOJ leadership pipeline is filled with qualified candidates is to recruit into the more general pool of employees. The larger Components are in continuous recruiting cycles to find qualified employees and to fill the pipeline in the key occupations in the organizations. Much of the recruiting takes place at colleges, universities, and law schools across the United States. Several Components have increased recruiting efforts in areas and at schools where a larger number of minorities are located to increase the diversity of the candidate pool. The FBI, for example, has set aside a number of entry-level positions to be filled using a new university direct hire program. Some Components have prepared to recruit from the large number of military personnel likely to be returning to civilian life who have developed interests and competencies in law enforcement and medical specialties. Components have also increased their recruiting using USA Jobs, online ads and virtual job fairs, college job fairs, traditional print ads, and DOJ and OPM sponsored job fairs. Some Components have begun recruiting outreach to individuals leaving the military and recruiting through professional associations for occupations requiring specialized training.

In addition, some Components with offices located in areas where it is difficult to fill positions, have focused on recruiting from the local pool of candidates. Examples of locations to where it may be difficult to recruit individuals from other areas include high cost areas such as New York City and Los Angeles, and less populous places, often with more extreme climates, where individuals not from that area may not wish to relocate. Recruiting individuals from within these areas, with families, support systems and living arrangements already in place, is more likely to

result in more satisfied employees and greater retention. BOP and USMS have both used these approaches to increase recruiting success. BOP has also used incentive bonuses for recruiting and relocation to hard to fill locations. DOJ recognizes that the projected retirement and separation rates will result in the need to recruit and train many more individuals at the entry levels to support the larger number of promotions within these organizations.

Some Components have determined that word of mouth is an important aspect of their recruiting program. Current employees often tell their families and friends about how it is to work for their organization. This word travels fast and far and the reputation of an organization as a good or bad place to work can impact the ability to recruit good candidates. Some Components are working to get people hired faster, knowing that they lose good prospects who cannot afford to wait months for a job. Others are using more realistic job previews to ensure that potential recruits understand the nature of the job before they accept a position for which they are not well-suited and would be likely to leave.

- ▶ Management Preference Profile is an example of a tool developed by the Bureau of Prisons to assist managers with succession planning. Each GS-11 and above can indicate their future plans and goals for positions and locations, so that there is a known pool of potential candidates for managers to consider as positions are opening up. Filling positions in high cost areas is a big issue for BOP, therefore it is important to identify capable and qualified individuals that actually want to go to these areas and are interested in these positions. This also allows BOP to ensure that interested individuals are notified regarding positions and opportunities in which they are particularly interested.

Assessing Leadership Competencies

DOJ has a small number of large Components that have programs in place to assess and develop leadership based on competency models. The most comprehensive program is conducted by the FBI, which has a competency based assessment and leadership development program in place. During the past three years, FBI has assessed 2,923 Agents for leadership positions. These GS 14 and GS 15 Agents were afforded the FBI's official Leadership Skills Assessment tool. There are currently 1,187 Professional Staff employees serving in GS 13-15 Supervisory roles within the FBI. Their leadership skills are assessed by their direct Supervisors and other managerial employees as well as during FBI Inspection processes where subordinates are allowed to assess supervisors. Persons performing well are acknowledged and adverse actions occur for those leaders who are not performing in an effective and efficient manner.

The DEA also conducts an annual Special Agent Assessment Program (an assessment center held at its training center) for GS-13 and GS-14 agents who are interested in advancement and understanding their strengths and weaknesses for developmental purposes.

For many years, the USMS has assessed leadership competencies for employees seeking to promote into senior positions. USMS has used Assessment Center and Structured Interview tools to evaluate skill levels for applicants to the GS13, 14 and 15 grade levels. Currently the USMS assesses competencies through structured interviews for all applicants to the 14 and 15 levels. Consideration is being given to reintroducing competency assessment at the GS13 level.

ATF's leadership competency model is used in the development and delivery of all leadership training and development programs and as part of their Merit Promotion Board interviewing

process. ATF conducts biennial Special Agent Assessment Centers for GS-13 and GS-14 agents to assess their skills against ATF's leadership and technical competencies for promotion purposes and further development. In addition, in two of its core leadership classes, ATF uses a customized 360-degree assessment instrument to measure leadership competency strengths and weaknesses.

As described above, DOJ pilot tested the use of the FCAT-M for assessing leadership competencies in four Components. This program appears to have promise and, if the OPM continues to make the FCAT-M available to Federal organizations, DOJ intends to broaden its use and organize its leadership development programs around its use. There remains a great deal of work to be done to map DOJ leadership positions to the necessary leadership competency expertise levels. Similarly, while leadership development courses, seminars, activities, and programs abound, both within and outside of the Federal Government, not all have been mapped to the OPM leadership framework and few still have been thoroughly evaluated for effectiveness in developing the identified leadership competencies.

Leadership Development

DOJ-Wide Leadership Development Programs

There are many on-going leadership development programs and activities throughout the DOJ ranging from the mandatory supervisor and manager courses required for every new supervisor and manager, to long-term internships and fellowships. The Department has several new initiatives to bridge some of the gaps, particularly for the smaller Components that may not realize the economies of scale necessary to create a full range of programs for themselves. By establishing this Succession Plan, DOJ strives to adhere to the Federal laws, regulations, and guidance set forth to ensure a strong learning environment that supports ongoing training and development of both current and future leaders. DOJ plans to follow OPM's Guidelines for Managerial Development in carrying out and evaluating its leadership development initiatives.

The Department has attempted to identify successful programs already in place in one or more Components and broaden them to cover the entire Department. In addition, DOJ has initiated several pilot programs with the idea that these might be applied across the Department, if successful. Those pilot programs and some of the more notable new programs being implemented by Components are presented below.

- ▶ Leadership Excellence and Achievement Program (LEAP) is DOJ-wide 12-month program that provides training in the foundations of management and supporting developmental experiences. Its purpose is to prepare high potential employees for higher-level management and leadership positions within DOJ. Employees at the GS 13—GS 14 level apply and are selected by a panel of senior leaders. The program includes assessments, course work, developmental assignments and mentoring.
- ▶ SES Candidate Development Program was conducted during FY2004-2006. Participants experienced leadership and competency assessments, residential training, developmental assignments and are mentored throughout the program. To date 15 of 33 DOJ leaders certified through this program have been selected for SES positions.
- ▶ Executive Coaching is a new program in which newly selected executives can receive on-the-job coaching. The executive and coach form a professional relationship which focuses on the needs and growth of the executive. Discussions center around real life

executive-level situations and experiences such as conflict resolution; performance management; political savvy; and strategic thinking.

- ▶ Mentoring Guidelines are under development for distribution throughout the DOJ for use in leadership development and succession management programs. Mentoring has been recognized as a powerful tool in succession management over a number of years. Mentoring allows for an interpersonal interaction that can be very meaningful and tailored to the specific situations that leaders share. The success of mentoring can also be hit or miss depending on the personalities and competencies of the participants. DOJ is adopting a set of mentoring guidelines to assist those using mentoring as a succession management tool to increase the likelihood of success. These guidelines help to establish the basis for the mentoring process, ground rules for interactions, guidance for how the participants should prepare, and expectations for the process.
- ▶ Learning Management System (LMS) is a DOJ initiative (related to leadership development) to cover all DOJ employees under a Learning Management System (LMS). A LMS can provide the ability to record training histories and also offer much more, including catalogs of training and development opportunities mapped to competencies. The ability to create an Individual Development Plan (IDP) is another LMS feature that can be very helpful in building a leadership development system that serves a multitude of purposes. It will be very useful to the Components and the Department if development requirements can be captured from IDPs in a LMS, rolled up and used to identify and allocate development resources. Data from a LMS will assist in determining the breadth and depth of leadership development activities, an estimate of the costs, and the ability to identify the unfunded backlog of needed development. A LMS will also support better evaluation of the development activities and the results and organizational outcomes of these investments.

Component Leadership Development Programs

The DOJ Components have also created a number of leadership development programs that they are using to prepare leaders for senior management and executive levels. The largest amount of on-going leadership development is taking place, not surprisingly, in the largest Components. The FBI has been conducting an extensive leadership development program for a number of years. The ATF and DEA also have on-going programs that provide a great deal of leadership development to their leaders. Appendix D shows the breadth of these long-standing programs along with numbers of leaders receiving development in DOJ and select Component programs in FY 2007. Several newly created initiatives are highlighted below.

- ▶ Auditor Leadership Development Program was developed by the Office of the Inspector General for auditors. The program is intended to broaden participants and provide them with a strategic perspective of their organization and DOJ. Interested GS-12s and 13s are encouraged to apply and no more than five participants are selected on a competitive basis by senior management. The program is an eight-month intensive program consisting of formal classes, special projects and rotational assignments. The rotational assignments are the heart of the program requiring:
 - ◆ A two month rotational assignment in a regional office other than their home office in a supervisory role;
 - ◆ A two month rotation in the Office of Operations;
 - ◆ A one month assignment in the Office of Policy and Planning, and,

- ◆ A three month rotation in the offices of Information Technology, Financial Statement, and Advanced Audit Techniques.

Special projects are assigned by the Assistant Inspector General. Participants must successfully complete five formal courses provided by either the American Management Association or the Federal Executive Institute.

- ▶ Leadership Enhancement and Development (LEAD) is a BOP program that GS-9 and above employees can apply. Participants are selected by senior leaders based on current job performance and leadership potential. The 18-month program consists of on-the-job training, mentoring, job sharing, high level executive training courses, and special projects. Since the inception of the LEAD Program in 2002, there have been a total of 296 graduates. Currently, there are 198 active participants. Of eligible staff, active participation is 12.4% for their GS-15's and SES.
- ▶ ATF Candidate Development Program is an 18-month OPM-SES CDP program designed to train, develop and certify individuals who exhibit outstanding executive potential for SES positions within ATF. The program includes participant assessments, coursework, developmental assignments and mentoring. So far, 15 individuals have been certified through this program, and of these, 13 have been selected for SES positions. An additional 26 candidates began the program in FY 2007.
- ▶ Workforce Planning System (WPS) is another innovative program developed by the Bureau of Prisons in which senior leadership assesses GS-14s and above employees for leadership potential. They consider work history, acquire 360 degree feedback, and review training histories and education in identifying individuals for leadership development opportunities similar to those in the LEAD program.
- ▶ The ATF Special Agent Leadership Enhancement Program was piloted in 2005 and 2006 as a supervisory development program for non-supervisory senior level Special Agents (GS-13). This program consists of coursework, assessments, developmental assignments, coaching, and mentoring.
- ▶ The Office of Justice Programs Mentoring Program was recently developed to offer opportunities for employees to partner with key leaders in a formal year-long program. Participants receive a self-assessment and feedback, create leadership development plans designed to focus on agency and individual goals, and work in team to address agency challenges using Action Learning problem solving techniques.
- ▶ The Office of Attorney Recruitment and Management's Attorney Mentoring Program was established in 2003 to provide mentors for attorneys entering the Department with less than five years of experience. The mentors selected to mentor the attorneys gain valuable leadership experience in coaching, management, and communication skills, while helping to develop less experienced attorneys. Over 300 mentors in the Department's litigating divisions have gone through this program, and it is now being expanded to all the U.S. Attorney Offices' across the U.S.

All of the programs and initiatives described above in the succession plan are currently underway in one or more Component. The DOJ has taken the approach that it is wiser to start many smaller programs within the Components and spread those that are effective than to jump

into a grand design of large, Department-wide programs that have not been piloted and do not have advocates and experts in the Components. To support the cross-fertilization, evaluation and dissemination of these programs and ideas, DOJ has formed three cross-Component groups. The first is the Human Capital Council (HCC), comprised of the HR directors from each Component. The second is the Workforce Planning Council (WPC) consists of representatives of the Components who are directly involved in strategic human capital planning. The third is the Learning and Development Council (LDC), composed of Component Training Officers who are responsible for developing, implementing and evaluating leadership development activities in their respective organizations. The HCC developed the DOJ Human Capital Strategic Plan and oversees the human capital planning activities. The WPC is involved in developing the workforce plans, recruiting plans, and this Succession Plan. The LDC works in concert with the other two Councils to ensure appropriate leadership development interventions are in place to address future succession planning goals.

Within the three planning bodies, the member present and discuss existing and planned human capital programs. They also discuss which programs have the potential to become DOJ-wide programs and how to implement such programs. DOJ allows for flexibility by the Components for which programs they can accommodate and adopt and how rapidly they can be implemented.

An aspect of all three councils is that they brief their organization's leaders on the workforce and succession issues facing them and build the support of their leaders for the plans and programs necessary to ensure adequate numbers of competent leaders in the future.

- ▶ Implementation of LMS. The move toward a DOJ-wide LMS is a good example of a Component-specific approach being expanded throughout the Department. A few Components have implemented a LMS and have experience with different systems and vendors. In September 2007, a decision was made to expand ATF's LMS to accommodate those Components without a LMS. The implementation of this expanded system began in November 2007 and the first wave of Components to fully use the LMS will occur by January 2008. There will be many smaller steps along the implementation path, including training for all employees in how to use the LMS to access their training histories, and for the supervisors in how to use it related to performance management and competency development. It will also take some time to populate the LMS with any necessary legacy data, and to create the maps between competencies and available development resources.

- ▶ Assessing Leadership Competencies. The pilot program using the FCAT-M in four Components is another program that will be expanded to additional Components over the next few years. If OPM continues to offer the FCAT-M, several new Components are expected to have their leaders participate in the next time the FCAT-M is made available. The DOJ goal is to move from 10% participation to 30% participation in FY 2008. The Department is encouraging every Component to create a program to assess their leaders, at least bi-annually, against the leadership competencies and to involve their leaders in leadership development programs targeted at their competency gaps. The DOJ will also ask each Component to determine which leadership competencies their leadership development programs are intended to enhance. Similarly, as leadership development offerings are added to the LMS catalogs, specific competencies on which the offerings are targeted should be identified. Components, such as the FBI, with existing leadership assessment programs will not be asked to change, but will be asked to map their competency framework to the DOJ framework.

- ▶ Broadening the Reach of LEAP. While LEAP is a DOJ-wide leadership development opportunity, not every Component was able to participate. The Department will continue to share information with all of the Components about the availability of LEAP and to encourage broader participation. DOJ leadership has committed to increased funding to support the broadening of LEAP throughout the Department.
- ▶ SES Candidate Development Program. Like LEAP, the SES CDP is available to individuals across the Department. As the candidate pool becomes depleted, DOJ will consider announcing another program and encourage Components to participate.
- ▶ Leadership Executive Coaching. DOJ will evaluate (see Evaluation Section below) the effectiveness of the coaching program it is sponsoring to determine if it should be continued, and for whom it is most effective. If the evaluation indicates a positive benefit that outweighs the cost, the program will be extended and the Department will fund the program DOJ-wide.
- ▶ Mentoring Guidelines. Many programs throughout the Department include mentoring as part of their leadership development approach. Mentoring can be an effective tool for developing leaders, and the Department wants to increase the probability of success for these programs by developing and distributing mentoring guidelines. These guidelines will be adapted as mentoring increases and is evaluated for its effectiveness. The Department is encouraging each Component to examine its mentoring programs to ensure that the mentoring guidelines are in effect. Also, as new programs that include mentoring are developed, the Department will ask the Components to incorporate the mentoring guidelines.
- ▶ Retention and Recruitment Initiatives. The wide variety of ideas and methods being undertaken in different Components for retaining good employees and leaders, and those for improving recruitment of good candidates are being shared across the Departmental Components. These approaches are being evaluated and those that are successful will be spread and adapted for use in other Components.

Communication of the Succession Plan

One of the principal purposes of this Succession Plan is to serve as a communication tool for DOJ leadership. The members of the HCC, WPC, and LDC will be distributing the Succession Plan to their leaders and will be asked to provide a briefing to their leaders on the principal succession planning issues, initiatives, and targets covered in this plan. In addition, JMD will disseminate the core messages in this plan to the entire DOJ workforce by means of its communication channels (e.g. newsletter, website, Justice Consolidated Office Network) and through the Components. A critical audience for the information in this plan is DOJ employees who have the potential to be the DOJ leaders of the future. It is important that they understand that they are valued, that their organization wants them to stay and grow, and—most importantly—how they can go about taking advantage of developmental opportunities provided by DOJ. The JMD will work with the HCC, WPC and LDC to create these messages and ensure that the target audience is reached. JMD, HCC, WPC, and LDC will also work together to promote succession planning investments from DOJ leadership and to be efficient and inclusive in using these investments to further the development of DOJ leadership.

Section 5: Evaluation

While evaluating the results of this plan is an important element in holding DOJ and its Components accountable for doing the requisite succession planning under the President's Management Agenda and the OPM "Proud To Be" directives, the more important purpose of evaluating the results of succession planning is to improve succession programs and achieve the necessary leadership outcomes to support DOJ mission. Therefore, evaluation is continuous and should lead to successive evolution and adaptation of leadership succession management programs that become more effective and efficient.

It is a goal of JMD to have DOJ's executive corps attuned to leadership succession issues and to be interested and committed to monitoring the results of the programs described above. The results of evaluating these programs will be documented and provided to the leadership of DOJ's Components, and the HCC, WPC, and LDC will be asked to brief their leadership on the results.

Evaluating Succession Targets

Evaluating the Number of Leaders

The first step in evaluating DOJ's accomplishment of succession targets is to track the number of leaders leaving the organization, both due to retirement and separating for other reasons. This will provide answers to two questions: Are we doing a better job of retaining leaders? Are our projections of the numbers leaving accurate? A corollary element to track is how well we are doing in backfilling leadership positions. This would include monitoring how quickly leadership vacancies are being filled and whether problems filling positions are noted.

Evaluating Leadership Readiness

The second step in evaluating our ability to meet succession targets is to evaluate the readiness gap in leadership over time. This is much more difficult than tracking the number of leaders. It requires a method for measuring leadership competencies and for using this method longitudinally to determine changes. The DOJ program to broaden the use of the FCAT-M to measure leadership competencies is the first step in tracking the readiness gap. We will track the number of Components adopting this methodology, will encourage each Component to assess its leaders using the FCAT-M at least every other year, and will track and report the longitudinal results from this program. It should be possible to see changes over time by Component in the readiness gap of leaders (both in leadership positions and in candidate pools) using this methodology. This type of evaluation is crucial for supporting the business case for leadership succession management.

Evaluating Retention and Recruiting

As described above, retention and recruitment are important elements of leadership succession management for DOJ in several ways. Retention, is particularly important, because if competent leaders can be retained the need for new leaders and the resources to develop them is reduced. It was noted above that retaining high quality employees below leader levels is important because they are the largest pool of potential leaders. Retaining a high quality pool will lead to more qualified candidates for leadership positions. The HCC and WPC will report on their retention initiatives and share lessons learned so that other Components can improve their retention programs.

Similarly, Components will share their recruiting initiatives and report on their effectiveness (and related lessons learned) so that the entire DOJ can benefit from these pilot programs. Improving recruiting, like retention initiatives, has the potential to improve the overall quality of the workforce and maintain—and possibly improve—the candidate pool for leadership positions. With leaders separating in high proportions, it is crucial to maintain an adequate pool of journey-level workers.

Evaluating Leadership Development

Leadership development has the potential to be the most expensive investment the DOJ will make in leadership succession management. The expense of leadership development is not just the cost of a course or instructor, but also includes the time that leaders are away from their jobs (opportunity cost). However, it has the potential to motivate and encourage leaders as well as show them the readiness gaps in their own leaders and organization. It is very important that DOJ's top leaders take leadership development seriously, make an adequate investment, and have the commitment to follow through, maintain these programs, and support their outcomes. It is also important that DOJ adhere to all Federal laws, rules, regulations and guidelines in carrying out its leadership initiatives.

The JMD will work with the HCC, WPC and LDC to evaluate DOJ leadership Development programs. There are several key measures that will be collected by the Components and consolidated by JMD. First, will be the number, breadth, and diversity of those who are provided developmental opportunities. Second will be the effectiveness of the development. Each Component providing leadership development will evaluate the activity based on Kirkpatrick's four level evaluation model². All Components will collect reaction data from those participating in the activity and, where possible, data on what the participant learned. The competency assessments (such as the FCAT-M) will be used to evaluate behavior changes in leaders resulting from the developmental experience and the organizational measures (such as the FHCS) will be used to evaluate whether there have been organizational outcomes that can be correlated to the development activities. The LMS will be very helpful in these data collection processes because it will be easier to determine who participated in what development. Some LMS have features for assisting in the collection of evaluation data and, if this feature is available in the LMS implemented by DOJ, it will be used to collect evaluation data.

The use of the FCAT-M to determine leadership competencies will also provide a mechanism for level two and level three evaluations. Longitudinal analyses of FCAT-M data should show the effects of development activities that are targeted toward readiness gaps.

JMD will conduct evaluations of DOJ-wide programs that it oversees, such as LEAP, SES CDP, Leadership Executive Coaching, and the application of mentoring guidelines. Each of these programs will be evaluated for its effectiveness using the Kirkpatrick evaluation model and the results will be shared with the Components through the HCC, WPC, and LDC.

² The most widely used model for evaluating training was developed by Donald Kirkpatrick. His four levels were 1=reaction, 2=learning, 3=behavior, and 4=results.

Evaluating Organizational Improvement

Harkening back to the Strategic Alignment first discussed in this Plan, the most important criterion for evaluating the accomplishment of the succession management goals is whether the DOJ leadership of the future meets the goals of the Human Capital Strategic Plan and whether the DOJ accomplishes the goals of the Strategic Plan and the DOJ mission.

There are two primary methods that organizational improvement will be measured. The first is the Federal Human Capital Survey. This survey is administered every two years to assess the job satisfaction and organizational climate of Federal organizations. All Federal employees are encouraged to participate in the survey. DOJ and each Component receive detailed feedback on their workforce's perceptions of their leaders and their organization. This represents a high level measure of leadership, communication, and policy.

The second method will be to examine how well the DOJ does on the specific measures it has committed to reporting in its Strategic Plan. The DOJ management team will evaluate the organization's performance and determine whether it has achieved its goals. The results of this evaluation are reported in the SES Accomplishment Report. The HCC will be asked to review this report and to consider the contribution of human capital and succession management issues to the success or failure of the Department to meet its objectives, and to identify specific initiatives that might assist in the future accomplishment of these objectives.

APPENDICES

Appendix A: Glossary of Acronyms

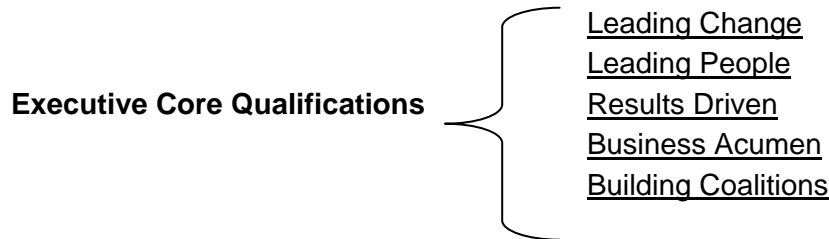
AD	Administratively Determined
ATF	Bureau of Alcohol, Tobacco, Firearms, and Explosives
BOP	Federal Bureau of Prisons
DOJ	U.S. Department of Justice
DEA	Drug Enforcement Administration
ES	Executive Levels
FBI	Federal Bureau of Investigation
FHCS	Federal Human Capital Survey
FCAT-M	Federal Competency Assessment Tool – Management
HCC	Human Capital Council
HR	Human Resources
IT	Information Technology
JMD	Justice Management Division
LEAP	Leadership Excellence and Achievement Program
LDC	Learning and Development Council
OPM	Office of Personnel Management
ROI	Return on Investment
USMS	United States Marshals Service
WPC	Workforce Planning Council

Future losses were projected by applying historical separation rates and retirement rates to the pool of DOJ potential leaders and their future retirement eligibility. Historical separation rates were calculated from the three years FY2005-FY2007. Separation included all losses except retirement. Historical retirement rates from FY 2005-FY2007 indicated that approximately 22% of the pool of all individuals in grades GS13-ES and AD that are eligible to retire in any year actually retire. When the historical loss rates are compared to the projected future losses the numbers are remarkably similar. The average number of GS-13s lost in each year 2005, 2006, and 2007 was 784 while we are projecting an average loss of 835 for GS-13 over the next six years. Similarly, the average number lost historically for GS-14 was 451 while our projected average is 412. The historical loss for GS-15 was 412 and the projected average loss is 379. The historical average loss for ES was 87 and the projected average loss is 82 per year. Finally, the historical average loss for AD29+ was 268 and the projected average loss is 264.

Potential Leaders Projected to Leave DOJ by Year and Grade (without replacement)										
	Grade									
	13 (1.6% Sep)		14 (2.1% Sep)		15 (4.7% Sep)		ES (4.7% Sep)		AD (4.8% Sep)	
Year	# Out	Remain	# Out	Remain	# Out	Remain	# Out	Remain	# Out	Remain
FY07		19,510		8,091		5,530		967		4,106
FY08	827	18,683	455	7,636	467	5,063	109	858	304	3,802
FY09	792	17,891	420	7,216	427	4,636	96	762	290	3,512
FY10	837	17,054	422	6,794	391	4,245	88	674	269	3,243
FY11	836	16,218	405	6,389	359	3,886	77	597	255	2,988
FY12	866	15,352	401	5,988	328	3,558	67	530	241	2,747
FY13	854	14,498	370	5,618	300	3,258	57	473	222	2,525
Average	835		412		379		82		264	
Retirement rate: 22% of all eligible retire each year										

- Note: The numbers in the table above were determined using anticipated retirement eligibility from Figure 1, historical actual retirement rate, and separation rate

The Guide: Leadership Competency Definitions



Leading Change

Continual Learning - Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self-development; seeks feedback from others and opportunities to master new knowledge.

Creativity and Innovation - Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs/processes.

External Awareness - Identifies and keeps up to date on key national and international policies and economic, political, and social trends that affect the organization. Understands near-term and long-range plans and determines how best to be positioned to achieve a competitive business advantage in a global economy.

Flexibility - Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.

Resilience - Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.

Service Motivation - Creates and sustains an organizational culture which encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.

Strategic Thinking - Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy. Examines policy issues and

strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.

Vision - Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.

Leading People

Conflict Management - Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.

Leveraging Diversity - Recruits, develops, and retains a diverse high quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity.

Integrity/Honesty - Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.

Team Building - Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.

Results Driven

Accountability - Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.

Customer Service - Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end-products; is committed to continuous improvement of services.

Decisiveness - Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even

when data is limited or solutions produce unpleasant consequences; is proactive and achievement oriented.

Entrepreneurship - Identifies opportunities to develop and market new products and services within or outside of the organization. Is willing to take risks; initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.

Problem Solving - Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.

Technical Credibility - Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.

Business Acumen

Financial Management - Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.

Human Resources Management - Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.

Technology Management - Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision making. Understands the impact of technological changes on the organization.

Building coalitions

Influencing/Negotiating - Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.


Interpersonal Skills - Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.

Oral Communication - Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.

Partnering - Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.

Political Savvy - Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the impact of alternative courses of action.

Written Communication - Expresses facts and ideas in writing in a clear, convincing and organized manner.



Appendix D: DOJ Leadership Development Programs

DOJ Leadership Development Programs (select)				
Program Name	GS Level	# in FY07	Description	Methods
DOJ-Wide Programs				
SES CDP	14/15	33	The 18-month OPM-SES CDP program is designed to train, develop and certify individuals who exhibit outstanding executive potential for SES positions.	<ul style="list-style-type: none"> ➤ Assessments ➤ Coursework ➤ Developmental Assignments, ➤ Mentoring
Leadership Excellence & Achievement Program (LEAP)	13/14/15	33	LEAP is a 12-month Program provides training in the foundations of management and developmental experiences. Its purpose is to prepare high potential employees for higher level management and leadership positions within the DOJ.	<ul style="list-style-type: none"> ➤ Assessments ➤ Coursework ➤ Developmental Assignments, ➤ Mentoring
ATF Programs				
SES CDP	15	26	The 18-month OPM-SES CDP program is designed to train, develop and certify individuals who exhibit outstanding executive potential for SES positions.	<ul style="list-style-type: none"> ➤ Assessments ➤ Coursework ➤ Developmental Assignments, ➤ Mentoring
Leadership Skills for Managers	14	15	This one-week course provides training to help new managers transition from first-line supervision to middle-management.	<ul style="list-style-type: none"> ➤ Coursework
Leadership Skills for New Supervisors	14	84	This two-week course is a mandatory course designed for all new supervisors to complete within their first year of supervision. It is a structured course that blends management principles and theory with practical application based on ATF's first-line supervisory leadership competencies.	<ul style="list-style-type: none"> ➤ Coursework, ➤ On-line training, ➤ Assessments
Leadership Skills for Experienced Supervisors	14	TBD	This one-week course provides additional training for experienced first-line supervisors to keep them current on the latest leadership and management concepts and techniques.	<ul style="list-style-type: none"> ➤ Coursework
Leadership Enhancement Program	13	16	This one-year training is offered to special agents only. It was implemented in an effort to develop a larger cadre of leaders and to identify and train qualified special agents who are interested in developing leadership and supervisory skills.	<ul style="list-style-type: none"> ➤ Developmental Assignments, ➤ Coaching, ➤ Mentoring

DOJ Leadership Development Programs (select)				
Program Name	GS Level	# in FY07	Description	Methods
DEA Programs				
Group Supervisor Institute (GSI)	14	133	GSI is a mandatory school for all newly-promoted, first-line supervisors. The core curriculum provides the students with 40 hours of specific leadership development training, provided by the University of Virginia, and incorporates leadership training into many of the blocks of instruction. Additional core materials include employee and career development, DEA policies, management, ethics, and DEA strategic planning. The Special Agent's also receive enforcement related training.	➤ Coursework
Supervisor In-Service Program (SIS)	14	49	The Supervisor In-Service (SIS) Program is a one-week school for first-line supervisors who have completed the GSI at least 24 months prior. The SIS provides 36 hours of instruction, including a block of leadership development. The goal of the in-service program is to provide relevant refresher training to all supervisors every 24 to 36 months.	➤ Coursework
Executive Leadership Institute	15	66	This one-week program is necessary to provide crucial and up-to-date leadership training for DEA's second-line supervisors.	➤ Coursework
Drug Unit Commanders Academy (DUCA)	14/15	211	This two-week course establishes and provides crucial leadership training to DEA's state and local counterparts, second-line supervisors to executive level commanders of state, local, and federal drug enforcement units in direct support of DEA's mission.	➤ Coursework
FBI Programs				
Executive Development Institute	14/15	150	The EDI is a two-week course designed to enhance leadership skills of future executives within the FBI.	➤ Residential Coursework ➤ 360° Feedback Assessment ➤ Case Studies
Supervisors Development Institute	11-14	300	One-week course designed to expose new field Supervisory Special Agents and Support Supervisors to a variety of essential leadership theories and practical applications.	➤ Residential Coursework ➤ Self-development Activities
National Academy Program	15/SES	1200	A 10-week, residential program that provides training to law enforcement leaders throughout the world. All	➤ Residential Coursework

DOJ Leadership Development Programs (select)				
Program Name	GS Level	# in FY07	Description	Methods
			courses, regardless of the topic, are presented in the context of leadership.	
Law Enforcement Executive Development Seminar	15/SES	145	Executives are provided instruction in social issues, leadership, and police programs. This program targets the CEOs of agencies with 50 to 499 sworn law enforcement officers.	➤ Residential Coursework
National Executive Institute	SES	45	The NEI provides strategic leadership development, current affairs, and liaison at the highest levels of the FBI and the largest U.S. and international law enforcement agencies.	➤ Residential Coursework
Leadership in a Counter Terrorism Environment (LINCT)	15/SES	TBD	Designed to put strategic level personnel from various agencies together to solve macro issues regarding terrorism.	➤ Residential Coursework ➤ Team Projects ➤ Developmental Assignments
Navigating Strategic Change	12-14	644	Designed to help FBI leaders implement the dramatic transformation that the Bureau is going through with regard to integrating intelligence	➤ Residential Coursework ➤ Case Studies
Leading Strategic Change	15/SES	40	LSC is a highly customized, five-day executive development program designed for SES level employees, ASACs, and AOs.	➤ Residential Coursework ➤ Case Studies
Leading Analysis of Crime and Terrorism (LeadACT)	14-15	40	Leadership school comprising leaders from the intelligence community at the middle-manager level.	➤ Residential Coursework ➤ Case Studies
Domestic Security Executive Academy (DSEA)	15/SES	45	A one-week executive school designed to partner and share best practices between the FBI and private industry	➤ Residential Coursework
Emerging Executives	15	50	Northeastern University and the FBI have partnered to provide a customized Mid-Manager leadership course to prepare future executives in the Bureau	➤ Residential Coursework ➤ Case Studies
Sabbatical Programs	12-15/SES	78	Provides a structured venue for workforce sabbatical training and education that are aligned with the Bureau's primary missions.	➤ Coursework ➤ Distance Learning
Bureau of Prisons Programs				
Leadership Enhancement and Development Program (LEAD)	9-15 SES WS-9	199	This three-year curriculum requires participants to attend Bureau-sponsored and national executive development training programs, as well as to pursue self-directed activities and experiential training at local institutions and offices. The program objective is to provide proactive leadership training to ensure the development and continuity of the Bureau's leadership and supervision but it is also open to members of the Public Health Service at equivalent grade levels. At the beginning of the program, all	➤ Coaching ➤ Coursework ➤ Self-development Activities ➤ 360° Feedback Assessment

DOJ Leadership Development Programs (select)				
Program Name	GS Level	# in FY07	Description	Methods
			program participants are required to complete an on-line 360-degree-assessment, which measures leadership skills and traits of managers.	
Office of Juvenile Justice and Delinquency Prevention/National Institute of Corrections				
OJJDP/NIC Correctional Leadership Development	12-14	TBD	<p>In this 70-hour individual, competency-based leadership development training program, participants focus on their current leadership practices as a means to develop and enhance leadership skills needed in juvenile justice. The program, uses an interactive, experiential format, and is designed as an intensive process to enhance participants' ability to manage current and emerging challenges effectively. Participants complete assignments prior to the training program, including working with their agencies' chief executive officers to identify trends and issues that challenge the agencies' leadership.</p> <p>Aside from federal employees, this program is appropriate for juvenile justice professionals with senior-level leadership and management responsibility for a state or local juvenile correctional agency, facility, detention center, community corrections/diversion program, or district or regional office who have been identified as leaders of the future by their home agencies. Deputies of these administrators will be considered if recommended by their chief executive officers. This developmental program format is also available for adult correctional administrators</p>	<ul style="list-style-type: none"> ➤ Residential Coursework ➤ 360° Feedback Assessment
National Drug Intelligence Center Programs				
Leadership Development Plan	13-15 SES	21	Courses offered range from 3-day to 7-weeks in duration. This plan identifies training that provides for the initial and continual development of employees in executive, managerial and supervisory positions. It addresses the Office of Personnel Management's Competencies for General Schedule 13 through Senior Executive Service (SES) executives, managers or	<ul style="list-style-type: none"> ➤ Coursework ➤ Distance Learning

DOJ Leadership Development Programs (select)				
Program Name	GS Level	# in FY07	Description	Methods
			supervisors. It is suggested that employees attend at least one professional development course annually for the life of their career.	
Office of Legal Education Programs				
Office of Legal Education Leadership Program	9-15	624	A number of single residential courses are offered, which are generally three to four days-long. They include the Attorney Supervisors course which provides leadership training for attorney managers; the 360 Leadership course by Warren Blank which provides leadership technique training for all managers. Additional courses teach leadership skills to support staff supervisors. A number of leadership courses will be offered to employees via satellite broadcast, including a quarterly topic from the JTN Executive Leadership Series which features presentations by renowned leadership experts such as Ken Blanchard and Peter Drucker	<ul style="list-style-type: none"> ➤ Coaching, ➤ Coursework ➤ Distance Learning ➤ Residential Coursework ➤ 360° Feedback Assessment
US Marshals Service Programs				
Introduction to Management and Leadership	12-13	55	This one-week program offers a blend of training by USMS Division with instruction from management experts contracted to address leadership techniques, management concepts and supervisory responsibility.	➤ Coursework
Managing for Success	13-14	25	This one-week program focuses on leadership skills, situational leadership and their practical application while avoiding common pitfalls. Additionally, participants are presented case studies involving Internal Affairs Investigations.	➤ Coursework
Leadership Development Program (LDP)	14-15	21	One-week LDP program designed to increase self awareness and leadership behaviors by learning ones own behavior strengths, areas for development and their impact of leadership behaviors. Understand purposeful leadership behaviors by understanding the change process and coaching. Learn to effectively analyze and synthesize feedback and developmental leadership planning.	<ul style="list-style-type: none"> ➤ Pre-course Surveys ➤ 360 Assessment ➤ Coursework

